

Attorney Docket No. 2307O-080510

FORM PTO-1595
(Rev. 6-93)U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Assistant Commissioner for Patents. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Peter Kushner, Rosalie M. Uht, Paul Webb

Additional name(s) of conveying parties attached?

☐ Yes☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other:

Execution Date: August 17, 1998

2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Internal Address: 12th Floor

Street Address: 1111 Franklin Street

City: Oakland

State: CA

ZIP: 94607-5200

Additional names and addresses attached?

☐ Yes☒ No

COPY

4. Application Number(s) or Patent Number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/103,355

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Tom Hunter
Townsend and Townsend and Crew LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
415/576-0200

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account.

8. Deposit Account Number: 20-1430

9. Statement and signature:

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

Tom Hunter
Name of Person Signing

Signature

Date

Attorney Reg. No.: 38,498

Total number of pages including cover sheet, attachments and document 3

10. Change Correspondence Address to that of Part 5? ☐ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

DO NOT USE THIS SPACE

Do not detach this portion

Mail documents to be recorded with required cover to:

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

ASSIGNMENT**COPY**

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Peter Kushner2. Rosalie M. Uht3. Paul Webb

4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

Methods for Screening Nuclear Transcription Factors for the Ability to Modulate an Estrogen Response

and which is found in

(a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors

(b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors

(c) X U.S. application serial no. 09/103,355, filed on June 23, 1998

(d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

17 day of August, 1998

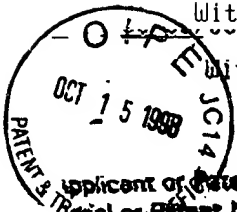
17 day of August, 1998

17 day of August, 1998

____ day of _____, 19____

Signature of Inventor(s)

Peter Kushner
Rosalie M. Uht
Paul Webb

Applicant or Patentee: Peter Kushner et al.Docket No. 023070-080510USSerial or Patent No.: 09/103,355U. C. Case No. 97-247-2Filed or Issued: June 23, 1998or: Methods for Screening Nuclear Transcription Factors for the Ability to Modulate an Estrogen Response

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR § 1.9(f) and § 1.27(c)]—SMALL BUSINESS CONCERN

I hereby declare that I am

☐ the owner of the small business concern identified below:☒ the official of the small business concern empowered to act on behalf of the concern identified below:NAME OF CONCERN: Karo Bio ABADDRESS OF CONCERN: Halsövägen 7-9, Välls-141 57, Huddinge, Sweden

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR § 1.21.3-18, and reproduced in 37 CFR § 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party, or parties controls or has power to control both.

I hereby declare that the rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled Methods for Screening Nuclear Transcription Factors for the Ability to Modulate an Estrogen Response by inventor(s) Peter Kushner, Rosalie M. Uht, Paul Webb described in

☐ the specification filed herewith☒ application serial no. 09/103,355, filed June 23, 1998☐ Patent no. _____, issued _____

If the rights held by the small business concern are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(a).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention availing to their status as small entities (37 CFR § 1.27).

NAME The Regents of the University of CaliforniaADDRESS 1111 Franklin Street, 12th Floor, Oakland, California 94607-5200☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

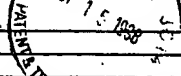
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b))

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: Peter-Olof MartenssonTITLE IN ORGANIZATION: PRESIDENTADDRESS OF PERSON SIGNING: KARO BIO AB, NOJUM SE-14157 HUDDINGE SWEDEN

SIGNATURE

DATE 980930



Applicant or Patentee: Peter Kushner et al. Docket No. 023070-080510US
Serial or Patent No.: 09/103,355 U. C. Case No. 97-247-2
Filed or Issued: June 23, 1998
For: Methods for Screening Nuclear Transcription Factors for the Ability to Modulate an Estrogen Response

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR § 1.9(f) and § 1.27(d)]--NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: The Regents of the University of California
ADDRESS OF ORGANIZATION: 1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 601(c) (3)]
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 501(c) (3)] IF
LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES
OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled Methods for Screening Nuclear Transcription Factors for the Ability to Modulate an Estrogen Response by inventor(s) Peter Kushner, Rosalie M. Uht, Paul Webb described in

- ☐ the specification filed herewith
☒ application serial no. 09/103,355, filed June 23, 1998
☐ Patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention [except for a license to a Federal Agency pursuant to USC § 202 (c) (4)].

If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME Karo Bio AB
ADDRESS Halsovaagen 7-9, V. III S-141 37 Huddinge, Sweden
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: Linda S. Stevenson
TITLE IN ORGANIZATION: Principal Prosecution Analyst, Office of Technology Transfer
ADDRESS OF PERSON SIGNING: 1111 Franklin Street, 5th Floor
Oakland, California 94607-5200

SIGNATURE Linda S. Stevenson

DATE 9/28/98